

Volume 2. Air Operator Certification and Fractional Ownership Application

CHAPTER 2. THE CERTIFICATION PROCESS - 14 CFR PART 121

SECTION 1. GENERAL INFORMATION

125. PURPOSE. This chapter provides direction and guidance on the certification process of Title 14 of the Code of Federal Regulations (14 CFR) part 121 air carriers. This process, if followed, will lead to successful compliance with Title 49, United States Code (U.S.C.) (formerly the Federal Aviation Act (FA Act) of 1958) and 14 CFR. During the certification process, the flight standards district offices (FSDO) and Certification Standardization Evaluation Team (CSET) will form an FAA Certification Project Team (CPT). The CPT will follow the guidance provided in the Certification Process Document (CPD) throughout the project. Under no circumstances will an applicant be certificated until FSDO, regional flight standards division (RFSO) offices, and the CSET are confident that the prospective certificate holder is capable of fulfilling the required responsibilities and willing to comply with 14 CFR in an appropriate and continuing manner.

127. INITIAL INQUIRIES OR REQUESTS. Initial inquiries about certification or requests for application may come in various formats from individuals or organizations. These inquiries may be in writing or in the form of meetings with FSDO personnel. Requests for applications may come from inexperienced and poorly prepared individuals, from well-prepared and financially sound organizations, or from individuals and organizations ranging between these extremes.

A. Upon initial contact, FSDO personnel should provide the applicant with a "Preapplication Statement of Intent" (PASI) and request they return the completed form to the FSDO. The FSDO personnel should also provide the applicant with the CSET web site address and advise them that the information found in the CPD will assist them during the certification process.

B. FSDO personnel should become familiar with at least the information in Phase I of the CPD.

129. CSET NOTIFICATION. Per the CPD, the FSDO manager shall notify CSET Managers via e-mail ('AVS-AFS900-ATOS-Leadership Team) when contacted by a viable applicant. The completed PASI should be attached to

the e-mail. If a PASI has not been completed, the e-mail should include the following minimum information:

- The name of the applicant,
- The proposed location of the applicant's principal base of operations,
- The kind(s) of proposed operation,
- The type of airplane(s), and
- The proposed date of initial operation.

131. CERTIFICATION PROCESS DOCUMENT (CPD).

A. The Certification Process Document (CPD) is an electronic document that provides guidance during the certification of all 14 CFR part 121 air carriers. It uses a structured system safety driven approach to air carrier certification based on the applicant's systems, subsystems, elements and associated specific regulatory requirements. The process is based on reviewing an air carrier's systems as an integrated whole rather than as separate parts. This approach incorporates the system safety concepts embodied within the Air Transportation Oversight System (ATOS), which are explained in Appendix 6 of this order. The process uses two types of data collection tools (DCT), Safety Attribute Inspections (SAI) and Element Performance Inspections (EPI). The SAIs are used to ensure safety is an integral part of the applicant's systems design and the EPIs are used to determine if the air carrier will be able to follow its procedures and controls.

B. The CPD is an automated tool that includes step-by-step instructions throughout the certification process. These instructions are in the form of action statements that must be accomplished. The responsible organization/individual is also identified for each action. The CPD provides direct links to reference material including briefing guides, meeting agendas, training requirements, and other guidance material used during the process.

C. Both the Federal Aviation Administration (FAA) and industry can access the CPD via the web at <http://>

cset.faa.gov/.

133. PROJECT MANAGEMENT TOOL (PMT).

The Project Management Tool (PMT) is an automated web-based tool used by the CPT to schedule certification tasks, coordinate work assignments, manage work flow, document completion of tasks, monitor the status of the project, and store information used during the certification project. Upon

completion of the certification project, the documents, as specified in the CPD, contained within the PMT are used as the certification project report. Only authorized CPT team members can access the PMT through a link in the CPD or via the web at <http://cset-pmt.avr.faa.gov/>.

134. – 144. RESERVED

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